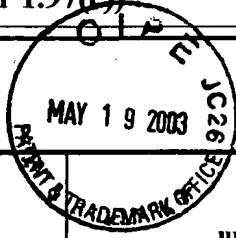


#4 D.J. 9-22-03

IDS Docket No. 16591

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

In Re Application Of: Mitsuhiro Sakaguchi, et al.



Serial No.
09/721,694

Filing Date
November 27, 2000

Examiner
unassigned

Group Art Unit
2185

Title: SURFACE PLASMON-ENHANCED READ/WRITE OPTICAL DATA STORAGE MEDIA

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Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

MAY 20 2003
Technology Center 2100

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

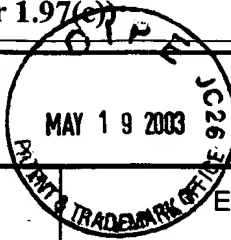
2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR
- ☐ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(e))

Docket No.
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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 19-1013 SSMP as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
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Janet Grossman

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Signature

Paul J. Esatto, Jr., Reg. No. 30,749
Scully, Scott, Murphy & Presser
400 Garden City Plaza
Garden City, New York 11530
(516) 742-4343

Dated: May 15, 2003

CC:



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): M. Sakaguchi et al. Examiner: unassigned
Serial No.: 09/721,694 Group Art Unit: 2185
Filed: November 27, 2000 Docket: 16591

For: SURFACE PLASMON-ENHANCED Dated: May 15, 2003
READ/WRITE OPTICAL DATE
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Commissioner for Patents
P. O. Box 14590
Alexandria, VA 22313-1450

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Sir:


In accordance with 37 C.F.R §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. Japanese Patent Application 11-134696 published May 21, 1999 together with English language abstract (corresponding to U.S. Patent 6,307,827);
2. Japanese Patent Application 08-007323 published January 12, 1996 together with English language abstract (corresponding to U.S. Patent 5,734,632);

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box 1450, Alexandria, VA 22313 on May 15, 2003.

Dated: May 15, 2003


Janet Grossman

3. Japanese Patent Application 10-143895 published May 29, 1998 together with English language abstract (corresponding to U.S. Patent 6,084,848);
4. Japanese Patent Application 05-034129 published February 9, 1993 together with English language abstract;
5. Japanese Patent Application 07-093797 published April 7, 1995 together with English language abstract;
6. Japanese Patent Application 08-222814 published August 30, 1996 together with English language abstract (corresponding to U.S. Patent 6,480,222); and
7. Japanese Patent Application 09-145603 published June 6, 1997 together with English language abstract (corresponding to U.S. Patent 5,625,617).

The references were cited in a Japanese Office Action dated January 8, 2003 received from the Japanese Patent Office. Applicants are submitting copies of the above-cited references, together with a translation of the Examiner's comments regarding the references from the Official Action. The relevance of the references is described in the Official Action.

In compliance with the requirements of 37 C.F.R. §1.98(a)(3), as a concise statement of relevance, as it is presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information, the undersigned attorney of record submits a translation of portions of an official action by a foreign examiner in which the references were cited. The relevance to the pending U.S. patent application is that the references were cited in a foreign patent application on the same subject matter. However, no independent analysis of the references, the accuracy of the statement of the foreign examiner or the claims of the foreign application under the laws of that country or the United States relative to the subject matter claimed in the present application has been made; the present understanding of the

contents thereof by the undersigned being based on the translation of the foreign examiner's comments submitted herewith.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

Respectfully submitted,



Paul J. Esatto, Jr.
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PJE:ae

